

06/13/00



jc772 U.S. PTO

NEW UNITED STATES UTILITY PATENT APPLICATION
under 37 C.F.R. 1.53(b)

jc531 U.S. PTO
09/592660
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Atty. Docket No. 03797.86776

Assistant Commissioner of Patents
Box Patent Applications
Washington, D.C. 20231

Enclosed herewith is a new patent application and the following papers:

First Named Inventor (or application identifier): Neil W. Black et al.

Title of Invention: SYSTEM AND METHOD FOR CREATING MODEL INVESTMENT PORTFOLIOS

1. ☒ Specification 24 pages (including specification, claims, abstract) / 37 claims (6 independent)
2. ☒ Declaration/Power of Attorney is:
☒ attached in the regular manner.
☐ NOT included, but deferred under 37 C.F.R. § 1.53(f).
3. ☒ 11 Distinct sheets of ☒ Formal ☐ Informal Drawings
4. ☐ Preliminary Amendment.
5. ☐ Information Disclosure Statement
☐ Form 1449
☐ A copy of each cited prior art reference
6. ☒ Assignment with Cover Sheet.
7. ☐ Priority is hereby claimed under 35 U.S.C. § 119 based upon the following application(s):

Country	Application Number	Date of Filing (day, month, year)

8. ☐ Priority document(s).
9. ☐ Statement Claiming Small Entity Status.
10. ☐ Microfiche Computer Program (Appendix).
11. ☐ Nucleotide and/or Amino Acid Sequence Submission.
☐ Computer Readable Copy.
☐ Paper Copy (identical to computer copy).
☐ Statement verifying identity of above copies.

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12. Calculation of Fees:

FEES FOR	EXCESS CLAIMS	FEE	AMOUNT DUE
Basic Filing Fee (37 C.F.R. § 1.16(a))			\$690.00
Total Claims in Excess of 20 (37 C.F.R. § 1.16(c))	17	18.00	\$306.00
Independent Claims in Excess of 3 (37 C.F.R. § 1.16(b))	3	78.00	\$234.00
Multiple Dependent Claims (37 C.F.R. § 1.16(d))	0	260.00	\$0.00
Subtotal - Filing Fee Due			\$1,230.00
		REDUCE BY (%) (\$)	
Reduction by 50%, if Small Entity (37 C.F.R. §§ 1.9, 1.27, 1.28)	0		\$0.00
TOTAL FILING FEE DUE			\$1,230.00
Assignment Recordation Fee (if applicable) (37 C.F.R. § 1.21(h))	1	40.00	\$40.00
GRAND TOTAL DUE			\$1,270.00

13. PAYMENT is:

- ☒ included in the amount of the GRAND TOTAL by our enclosed check. A general authorization under 37 C.F.R. § 1.25(b), second sentence, is hereby given to credit or debit our Deposit Account No. 19-0733 for the instant filing and for any other fees during the pendency of this application under 37 C.F.R. §§ 1.16, 1.17 and 1.18.
- ☐ not included, but deferred under 37 C.F.R. § 1.53(f).

14. All correspondence for the attached application should be directed to:

Banner & Witcoff, Ltd.
1001 G Street, N.W.
Washington, D. C. 20001-4597
Telephone: (202) 508-9100
Facsimile: (202) 508-9299

15. Other: _____

Date: June 13, 2000

By: Christopher R. Glembocki Reg. No. 37,588
for Christopher R. Glembocki
Reg. No. 38,800

PIB/CRG/dah